



PTO/SB/21 (08-03)  
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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/626,875
Filing Date	July 25, 2003
First Named Inventor	Francine R. CHEN et al.
Art Unit	2171
Examiner Name	Not Yet Assigned
Attorney Docket Number	D/A3053-311291

Total Number of Pages in This Submission 8p+18 encs.

### ENCLOSURES (Check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment/Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation
- ☐ Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance communication to Technology Center (TC)
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Other Enclosure(s) (please identify below):

Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Christian Austin-Hollands (Reg. No. 46,527) Customer No. 31011
Signature	
Date	April 20, 2004

### CERTIFICATE OF TRANSMISSION/MAILING

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/626,875  
Applicants : Francine R. CHEN et al.  
Filed : July 25, 2003  
TC/A.U. : 2171  
Examiner : NOT YET AVAILABLE  
Docket No. : D/A3053-311291  
Customer No. : 31011

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form. It is respectfully submitted that the references and information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of the above application (which is not a CPA), OR (b) before the mailing date of a first Office Action on the merits. No certification or fee is required.

☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection, Notice of Allowance, or other action that closes prosecution. Please debit Xerox Corporation Deposit Account 24-0037 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). (A copy of this letter is attached.)

☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; AND

☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); OR

☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c), more than three months prior to the filing of this Information Disclosure Statement 37 C.F.R. 1.97(e)(2).

☐ 4. This Information Disclosure Statement is being filed after the mailing date of a Final Rejection or Notice of Allowance, but before the payment of the Issue Fee. Please debit Xerox Corporation Deposit Account 24-0037 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). (A copy of this letter is attached.) AND

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- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c), more than three months prior to the filing of this Information Disclosure Statement 37 C.F.R. 1.97(e)(2).
- ☐ 5. Per 37 C.F.R. 1.98(a)(3), a concise explanation of the relevance of each of any submitted item that was not in the English language is either enclosed herewith, or incorporated in the application specification.
- ☐ 6. A copy of an English language version of an above-referenced counterpart foreign application search report is attached.
- ☐ 7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon under 35 U.S.C. § 120. Thus, copies of these references are not attached (except for copies of cited pending applications). 37 C.F.R. §1.98(d).
- ☐ 8. A copy of each copending application recited in the parent

Application No. 10/626,875  
Filed: July 25, 2003

Docket No. D/A3053-311291

application of paragraph 7 above, and/or a copy of other related copending applications, is enclosed.

Respectfully submitted,



Christian Austin-Hollands

Registration No. 46,527

Date: April 20, 2004

**CHRISTIAN AUSTIN-HOLLANDS ESQ.**  
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Substitute for form 1449/PTO

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/626,875
Filing Date	July 25, 2003
First Named Inventor	Francine R. CHEN et al.
Art Unit	2171
Examiner Name	
Attorney Docket Number	D/A3053-311291

Sheet	1	of	3
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## U. S. PATENT DOCUMENTS

[illegible]

**FOREIGN PATENT DOCUMENTS**

[illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.<sup>1</sup> Applicant's unique citation designation number (optional).<sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.<sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>		<b>Complete if Known</b>	
		Application Number	10/626,875
		Filing Date	July 25, 2003
		First Named Inventor	Francine R. CHEN et al.
		Art Unit	2171
		Examiner Name	
Sheet 2 of 3	Attorney Docket Number		D/A3053-311291

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Allan, J. et al., "Detection, Bounds, and Timelines: UMass and TDT-3" in Proceedings of Topic Detection and Tracking Workshop (TDT-3), Vienna, Virginia, February 2000.	
		Allan, J. et al., "On-line new event detection and tracking" in Proceedings of SIGIR-98, Melbourne, Australia, 1998, p. 37-45.	
		Allan, J., et al., "Topic-based novelty detection", Summer Workshop Final Report, Center for Language and Speech Processing, John Hopkins University, 1999.	
		Franz, M., et al., "First Story Detection: Combining similarity and novelty-based approaches", Slides at the TDT-2001 meeting, IBM, 2001.	
		Brants, T., et al., "Topic-based document segmentation with probabilistic latent semantic analysis", in International Conference on Information and Knowledge Management (CIKM), McLean, VA 2002.	
		Croft, W.B., et al., "Relevance feedback and personalization: A language modelling perspective" in DELOS Workshop: Personalisation and Recommender Systems in Digital Libraries, 2001.	
		Dunning, T.E., "Accurate Methods for the statistics of surprise and coincidence" in Computational Linguistics 19(1):61-74, 1993.	
		Hearst, M.A., "TextTiling: Segmenting text into multi-paragraph subtopic passages", in Computational Linguistics, 23(1):33-64, 1997.	
		Joachims, T., "Making large-scale svm learning practical", in Advances in Kernel-Methods Support Vector Learning, B. Schölkopf, C. Burges, A. Smola eds., MIT Press, 1999.	
		Joachims, T., "Text categorization with support vector machines: learning with many relevant features" in Proceedings of the 10th European Conference on Machine Learning, 1998, pp. 137-142.	

Examiner Signature		Date Considered	
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, Washington, DC 20231.**

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Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Complete if Known</b>	
		Application Number	10/626,875
		Filing Date	July 25, 2003
		First Named Inventor	Francine R. CHEN et al.
		Art Unit	2171
		Examiner Name	
Sheet 3	of 3	Attorney Docket Number D/A3053-311291	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Lavrenko, V., et al., "Relevance models for topic detection and tracking", in Proceedings of the HLT-2002, San Diego, CA 2002.	
		Schapire, R. E., et al., Boostexter: A boosting-based system for text categorization", in Machine Learning, 2000.	
		Yang, Y., et al., "A study on retrospective and on-line event detection", in Proceedings of SIGIR-98, Melbourne, Australia, 1998.	
		Yang, Y., et al., "Topic-conditioned novelty detection" in Proceedings of the International Conference on Knowledge Discovery and Data Mining, Edmonton, Canada, 2002.	
		Zhang, Y., et al., "Novelty and redundancy detection in adaptive filtering" in Proceedings of SIGIR-02, Tampere, Finland, 2002, pp. 81-88.	

Examiner Signature	Date Considered
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